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| TRANSMITTAL LETTER TO THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US) CONCERNING A SUBMISSION UNDER 35 U.S.C. 371 | | ATTORNEY'S DOCKET NUMBER NEB-238-PUS U.S. APPLICATION NO. (if known, enter 37 CFR 1.5) EARLY 40/586720 |
| INTERNATIONAL APPLICATION NO. PCT/US05/02029 | INTERNATIONAL FILING DATE 21 January 2005 (21.01.2005) | PRIORITY DATE CLAIMED 23 January 2004 (23.01.2004) |
| TITLE OF INVENTION Compositions and Methods for Generating Short Double-Stranded RNA Using Mutated RNase III | | |
| APPLICANT(S) FOR DO/EO/US NEW ENGLAND BIOLABS, INC.; MAINA, Claude V.; TZERTZINIS, George and KUMAR, Sanjay | | |
| Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information: | | |
| 1. <input checked="" type="checkbox"/> This is a FIRST submission of items concerning a submission under 35 U.S.C. 371. 2. <input type="checkbox"/> This is a SECOND or SUBSEQUENT submission of items concerning a submission under 35 U.S.C. 371. 3. <input checked="" type="checkbox"/> This is an express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) and (21) indicated below. 4. <input checked="" type="checkbox"/> The US has been elected (Article 31). 5. <input checked="" type="checkbox"/> A copy of the International Application as filed (35 U.S.C. 371(c)(2)) a. <input type="checkbox"/> is attached hereto (required only if not communicated by the International Bureau). b. <input type="checkbox"/> has been communicated by the International Bureau. c. <input checked="" type="checkbox"/> is not required, as the application was filed in the United States Receiving Office (RO/US). 6. <input type="checkbox"/> An English language translation of the International Application as filed (35 U.S.C. 371(c)(2)). a. <input type="checkbox"/> is attached hereto. b. <input type="checkbox"/> has been previously submitted under 35 U.S.C. 154(d)(4). 7. <input type="checkbox"/> Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3)) a. <input type="checkbox"/> are attached hereto (required only if not communicated by the International Bureau). b. <input type="checkbox"/> have been communicated by the International Bureau. c. <input type="checkbox"/> have not been made; however, the time limit for making such amendments has NOT expired. d. <input type="checkbox"/> have not been made and will not be made. 8. <input type="checkbox"/> An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)). 9. <input checked="" type="checkbox"/> An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)). 10. <input type="checkbox"/> An English language translation of the annexes of the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)). Items 11 to 20 below concern document(s) or information included: 11. <input checked="" type="checkbox"/> An Information Disclosure Statement under 37 CFR 1.97 and 1.98. 12. <input checked="" type="checkbox"/> An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included. 13. <input checked="" type="checkbox"/> A preliminary amendment. 14. <input checked="" type="checkbox"/> An Application Data Sheet under 37 CFR 1.76. 15. <input type="checkbox"/> A substitute specification. 16. <input checked="" type="checkbox"/> A power of attorney and/or change of address letter. 17. <input checked="" type="checkbox"/> A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 37 CFR 1.821- 1.825. 18. <input type="checkbox"/> A second copy of the published International Application under 35 U.S.C. 154(d)(4). 19. <input type="checkbox"/> A second copy of the English language translation of the international application under 35 U.S.C. 154(d)(4). | | |

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| U.S. APPLICATION NO. (if known), see 37 CFR 1.5) <div style="font-size: 2em; font-weight: bold; position: absolute; top: 0; left: 0;">10/586720</div> | INTERNATIONAL APPLICATION NO. PCT/US05/02029 | ATTORNEY'S DOCKET NUMBER NEB-238-PUS | | | | | | | | | | | | | | | | | | | | | | | |
|--|--|--|--------------|--------------|--------------|---|-----------|------------|-----------|--------------------|---------|---|---------|---|--|--|---------|--|--|----|--------|----|--------|----|--------|
| 20. Other items or information: Copy of PCT Request, copy of international publication no. WO 2005/072272; paper copy and electronic copy of sequence listing and statement that the two are identical | | | | | | | | | | | | | | | | | | | | | | | | | |
| The following fees have been submitted | | <table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <th style="width: 60%;">CALCULATIONS</th> <th style="width: 40%;">PTO USE ONLY</th> </tr> </table> | CALCULATIONS | PTO USE ONLY | | | | | | | | | | | | | | | | | | | | | |
| CALCULATIONS | PTO USE ONLY | | | | | | | | | | | | | | | | | | | | | | | | |
| 21. <input checked="" type="checkbox"/> Basic national fee (37 CFR 1.492(a))..... \$300 | <table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 60%;">\$</td> <td style="width: 40%;">300.00</td> </tr> </table> | | \$ | 300.00 | | | | | | | | | | | | | | | | | | | | | |
| \$ | 300.00 | | | | | | | | | | | | | | | | | | | | | | | | |
| 22. <input checked="" type="checkbox"/> Examination fee (37 CFR 1.492(c)) If the written opinion prepared by ISA/US or the international preliminary examination report prepared by IPEA/US indicates all claims satisfy provisions of PCT Article 33(1)-(4)..... \$0 All other situations..... \$200 | <table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 60%;">\$</td> <td style="width: 40%;">200.00</td> </tr> </table> | | \$ | 200.00 | | | | | | | | | | | | | | | | | | | | | |
| \$ | 200.00 | | | | | | | | | | | | | | | | | | | | | | | | |
| 23. <input checked="" type="checkbox"/> Search fee (37 CFR 1.492(b)) If the written opinion of the ISA/US or the International preliminary examination report prepared by IPEA/US indicates all claims satisfy provisions of PCT Article 33(1)-(4)..... \$0 Search fee (37 CFR 1.445(a)(2)) has been paid on the international application to the USPTO as an International Searching Authority..... \$100 International Search Report prepared by an ISA other than the US and provided to the Office or previously communicated to the US by the IB..... \$400 All other situations..... \$500 | <table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 60%;">\$</td> <td style="width: 40%;">100.00</td> </tr> </table> | | \$ | 100.00 | | | | | | | | | | | | | | | | | | | | | |
| \$ | 100.00 | | | | | | | | | | | | | | | | | | | | | | | | |
| TOTAL OF 21, 22 and 23 = | | <table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 60%;">600.00</td> <td style="width: 40%;"></td> </tr> </table> | 600.00 | | | | | | | | | | | | | | | | | | | | | | |
| 600.00 | | | | | | | | | | | | | | | | | | | | | | | | | |
| <input type="checkbox"/> Additional fee for specification and drawings filed in paper over 100 sheets (excluding sequence listing in compliance with 37 CFR 1.821(c) or (e) or computer program listing in an electronic medium) (37 CFR 1.492(j)). The fee is \$250 for each additional 50 sheets of paper or fraction thereof. | | <table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 60%;"></td> <td style="width: 40%;"></td> </tr> </table> | | | | | | | | | | | | | | | | | | | | | | | |
| | | | | | | | | | | | | | | | | | | | | | | | | | |
| <table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <th style="width: 15%;">Total Sheets</th> <th style="width: 15%;">Extra Sheets</th> <th style="width: 30%;">Number of each additional 50 or fraction thereof (round up to a whole number)</th> <th style="width: 40%;">RATE</th> </tr> <tr> <td>72 - 100 =</td> <td>-28 /50 =</td> <td></td> <td>x \$250</td> </tr> </table> | | | | Total Sheets | Extra Sheets | Number of each additional 50 or fraction thereof (round up to a whole number) | RATE | 72 - 100 = | -28 /50 = | | x \$250 | | | | | | | | | | | | | | |
| Total Sheets | Extra Sheets | Number of each additional 50 or fraction thereof (round up to a whole number) | RATE | | | | | | | | | | | | | | | | | | | | | | |
| 72 - 100 = | -28 /50 = | | x \$250 | | | | | | | | | | | | | | | | | | | | | | |
| Surcharge of \$130.00 for furnishing any of the search fee, examination fee, or the oath or declaration after the date of commencement of the national stage (37 CFR 1.492(h)). | | | | | | | | | | | | | | | | | | | | | | | | | |
| <table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <th style="width: 15%;">CLAIMS</th> <th style="width: 15%;">NUMBER FILED</th> <th style="width: 15%;">NUMBER EXTRA</th> <th style="width: 40%;">RATE</th> </tr> <tr> <td>Total claims</td> <td>31 - 20 =</td> <td>11</td> <td>x \$ 50</td> </tr> <tr> <td>Independent claims</td> <td>5 - 3 =</td> <td>2</td> <td>x \$200</td> </tr> <tr> <td colspan="3">MULTIPLE DEPENDENT CLAIM(S) (if applicable)</td> <td>+ \$360</td> </tr> </table> | | CLAIMS | NUMBER FILED | NUMBER EXTRA | RATE | Total claims | 31 - 20 = | 11 | x \$ 50 | Independent claims | 5 - 3 = | 2 | x \$200 | MULTIPLE DEPENDENT CLAIM(S) (if applicable) | | | + \$360 | <table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 60%;">\$</td> <td style="width: 40%;">550.00</td> </tr> <tr> <td style="width: 60%;">\$</td> <td style="width: 40%;">400.00</td> </tr> <tr> <td style="width: 60%;">\$</td> <td style="width: 40%;">360.00</td> </tr> </table> | | \$ | 550.00 | \$ | 400.00 | \$ | 360.00 |
| CLAIMS | NUMBER FILED | NUMBER EXTRA | RATE | | | | | | | | | | | | | | | | | | | | | | |
| Total claims | 31 - 20 = | 11 | x \$ 50 | | | | | | | | | | | | | | | | | | | | | | |
| Independent claims | 5 - 3 = | 2 | x \$200 | | | | | | | | | | | | | | | | | | | | | | |
| MULTIPLE DEPENDENT CLAIM(S) (if applicable) | | | + \$360 | | | | | | | | | | | | | | | | | | | | | | |
| \$ | 550.00 | | | | | | | | | | | | | | | | | | | | | | | | |
| \$ | 400.00 | | | | | | | | | | | | | | | | | | | | | | | | |
| \$ | 360.00 | | | | | | | | | | | | | | | | | | | | | | | | |
| TOTAL OF ABOVE CALCULATIONS = | | <table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 60%;">\$</td> <td style="width: 40%;">1,910.00</td> </tr> </table> | | \$ | 1,910.00 | | | | | | | | | | | | | | | | | | | | |
| \$ | 1,910.00 | | | | | | | | | | | | | | | | | | | | | | | | |
| <input checked="" type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27. Fees above are reduced by 1/2. | | <table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 60%;">955.00</td> <td style="width: 40%;"></td> </tr> </table> | | 955.00 | | | | | | | | | | | | | | | | | | | | | |
| 955.00 | | | | | | | | | | | | | | | | | | | | | | | | | |
| SUBTOTAL = | | <table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 60%;">\$</td> <td style="width: 40%;">955.00</td> </tr> </table> | | \$ | 955.00 | | | | | | | | | | | | | | | | | | | | |
| \$ | 955.00 | | | | | | | | | | | | | | | | | | | | | | | | |
| Processing fee of \$130.00 for furnishing the English translation later than 30 months from the earliest claimed priority date (37 CFR 1.492(i)). | | <table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 60%;">\$</td> <td style="width: 40%;">0.00</td> </tr> </table> | | \$ | 0.00 | | | | | | | | | | | | | | | | | | | | |
| \$ | 0.00 | | | | | | | | | | | | | | | | | | | | | | | | |
| TOTAL NATIONAL FEE = | | <table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 60%;">\$</td> <td style="width: 40%;">955.00</td> </tr> </table> | | \$ | 955.00 | | | | | | | | | | | | | | | | | | | | |
| \$ | 955.00 | | | | | | | | | | | | | | | | | | | | | | | | |
| Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property | | <table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 60%;">\$</td> <td style="width: 40%;">40.00</td> </tr> </table> | | \$ | 40.00 | | | | | | | | | | | | | | | | | | | | |
| \$ | 40.00 | | | | | | | | | | | | | | | | | | | | | | | | |
| TOTAL FEES ENCLOSED = | | <table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 60%;">\$</td> <td style="width: 40%;">995.00</td> </tr> </table> | | \$ | 995.00 | | | | | | | | | | | | | | | | | | | | |
| \$ | 995.00 | | | | | | | | | | | | | | | | | | | | | | | | |
| | | Amount to be refunded: \$ | | | | | | | | | | | | | | | | | | | | | | | |
| | | Amount to be charged \$ | | | | | | | | | | | | | | | | | | | | | | | |

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- a. ☒ A check in the amount of \$ 995.00 to cover the above fees is enclosed.
- b. ☐ Please charge my Deposit Account No. _____ in the amount of \$ _____ to cover the above fees.
A duplicate copy of this sheet is enclosed.
- c. ☒ The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. 14-0740. A duplicate copy of this sheet is enclosed.
- d. ☐ Fees are to be charged to a credit card. **WARNING:** Information on this form may become public. **Credit card information should not be included on this form.** Provide credit card information and authorization on PTO-2038.

NOTE: Where an appropriate time limit under 37 CFR 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the International Application to pending status.

SEND ALL CORRESPONDENCE TO:

Harriet M. Strimpel
New England Biolabs, Inc.
240 County Road
Ipswich, MA 01938


SIGNATURE

Harriet M. Strimpel, D.Phil.
NAME

37,008
REGISTRATION NUMBER

From: Attygoldberg@aol.com
Date: Fri, 26 May 2006 09:20:00 EDT
Subject: Steve Altman's email address
To: goldberg@neb.com
X-imss-version: 2.040
X-imss-result: Passed
X-imss-scores: Clean:99.90000 C:2 M:4 S:5 R:5
X-imss-settings: Baseline:2 C:2 M:2 S:3 R:2 (0.1500 0.1500)

10/586720
IAP11 Rec'd PCT/PTO 20 JUL 2006

As of earlier this month, his email address is Stephen.Altman@hypointernational.com

10/586720
IAP11 Rec'd PCT/PTO 20 JUL 2006

Practitioner's Docket No. NEB-238-PUS

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of: Maina, Claude V.; Tzertzinis, George and Kumar, Sanjay

International Application No.: PCT/US05/02029

International Filing Date: 21 January 2005

Priority Dates Claimed: January 23, 2004; February 12, 2004; May 18, 2004

For: Compositions and Methods for Generating Short Double-Stranded RNA Using Mutated RNaseIII

Mail Stop PCT, Attn: US/EO/EO

Commissioner for Patents

P.O. Box 1450

Alexandria, VA 22313-1450

EXPRESS MAIL CERTIFICATE

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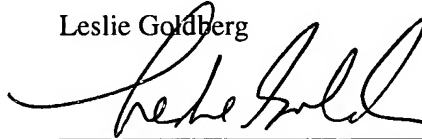
Date of Deposit 20 July 2006

I hereby state that the following *attached* paper or fee

Transmittal to DO/EO/US for entering the U.S. national phase with related papers and documents referenced therein

is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 C.F.R. § 1.10, on the date indicated above and is addressed to the Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

Leslie Goldberg



Signature of person mailing paper or fee